

# BAKER BOTTS LLP

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**TRANSMITTAL  
FORM**

APR 04 2002

Total Number of Pages in This Submission

|                             |                         |
|-----------------------------|-------------------------|
| <b>Application Number</b>   | 09/941,492              |
| <b>Filing Date</b>          | 08/29/2001              |
| <b>First Named Inventor</b> | Mitchell et al.         |
| Group Art Unit              | To be assigned          |
| Examiner Name               | To be assigned          |
| Attorney Docket Number      | 31304-B-A-E 069906.0106 |

**ENCLOSURES** *(check all that apply)*

- |   |   |   |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers<br>(for an Application)                      | <input type="checkbox"/> After Allowance Communication to Group   |
| <input checked="" type="checkbox"/> Fee Attached  | <input checked="" type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences   |
| <input type="checkbox"/> Amendment / Reply  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter  |
| <input checked="" type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Executed Combined Declaration and Power of Attorney; and Submission of Sequence Listing + Sequence Listing in paper and computer readable form + substitute specification. |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  |   |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Request for Refund   |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> CD, Number of CD(s) _____                                      |   |
| <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application   | Remarks   |   |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                               |  |
|-------------------------------|--|
| Firm<br>or<br>Individual name | BakerBotts LLP<br>30 Rockefeller Plaza<br>New York, NY 10112 |
| Signature                     | <i>Carmella L. Stephens</i>                                  |
| Date                          | April 1, 2002  |
|                               | Att Name: Carmella L. Stephens<br>PTO Reg: 41,328            |

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: April 1, 2002

|                       |                             |
|-----------------------|-----------------------------|
| Typed or printed name | Carmella L. Stephens        |
| Signature             | <i>Carmella L. Stephens</i> |

**BAKER BOTTS LLP**

Attorney Docket Number: 31304-B-A-E 069906.0106

Title: METHODS AND COMPOSITIONS FOR USE IN SPLICEOSOME MEDIATED RNA  
TRANS-SPlicing



Use Space Below for Additional Information:

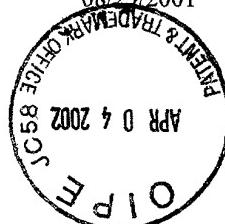


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/941,492         | 08/29/2001          | Lloyd G. Mitchell     | 31304-BAE 72874-0101   |

21003  
 BAKER & BOTTS  
 30 ROCKEFELLER PLAZA  
 NEW YORK, NY 10112



CONFIRMATION NO. 7149

## FORMALITIES LETTER



\*OC000000006823596\*

Date Mailed: 10/01/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$2142. **04/04/2002 SSANDARA 00000020 09941492**

|   |           |           |
|---|-----------|-----------|
| ■ \$432 for 24 total claims over 20.            | 01 FC:201 | 370.00 OP |
| ■ \$1440 for 18 independent claims over 3 .     | 02 FC:202 | 756.00 OP |
| ■ \$270 for multiple dependent claim surcharge. | 03 FC:203 | 216.00 OP |
|   | 04 FC:204 | 140.00 OP |
|   | 05 FC:205 | 65.00 OP  |
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2982.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

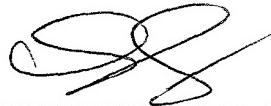
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

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*A copy of this notice MUST be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



A31304-B-A-E 069906.0106

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Mitchell *et al.*

Serial No. : 09/941,492 Examiner: TBA

Filed : August 29, 2001 Group Art Unit: TBA

For : METHODS AND COMPOSITIONS FOR USE IN  
SPLICEOSOME MEDIATED RNA TRANS-SPlicing

RESPONSE TO NOTICE TO FILE MISSING PARTS

I hereby certify that this paper is being deposited with the  
United States Postal Service as first class mail in an  
envelope addressed to: Assistant Commissioner of Patents,  
Washington, D.C. 20231. Date: April 1, 2002

Attorney: Carmella L. Stephens

PTO Reg. No. 35,225

Carmella L. Stephens  
Signature

April 1, 2002  
Date of Signature

Assistant Commissioner of Patents  
Washington, D.C. 20231

SIR:

In response to the Notice of Missing Parts dated October 1, 2001, please find  
enclosed:

- (i) a Combined Declaration and Power of Attorney, executed by the Applicants;
- (ii) substitute drawings, in compliance with 37 CFR 1.84;
- (iii) a Petition for Extension of Time under 37 CFR 1.136(a) for a period of four months, up to and including April 1, 2002;
- (iv) Submissin of Sequence Listing, with Sequence Listing in paper and computer readable format and substitute specification; and

(v) A check in the amount of \$2,267, which is comprised of: \$370 utility filing fee (applicants are entitled to small entity status); \$216 for 24 extra claims; \$756 for 18 extra independent claims; \$270 for multiple dependent claim surcharge; \$65 for declaration surcharge and \$720 for extension of time for four months. Should any additional fees be incurred, please charge to our deposit account No. 02-4377. Two copies of this document are enclosed.

Respectfully submitted,

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Rochelle K. Seide  
PTO Reg. No. 32,300

Carmella L. Stephens  
PTO Registration No. 41,328

ATTORNEYS FOR APPLICANTS

(212) 408-2539

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Encls.